

<b>TRANSMITTAL LETTER TO THE UNITED STATES</b>		<b>ATTORNEY'S DOCKET NUMBER</b>
<b>DESIGNATED/ELECTED OFFICE (DO/EO/US)</b>		123029-1057 (UHID 2003-031)
<b>CONCERNING A SUBMISSION UNDER 35 U.S.C. 371</b>		U.S. APPLICATION NO. (If known, see 37 CFR 1.55) <b>10/553328</b>
International Application No. PCT/7S2004/011489	International Filing Date 14 April 2004	Priority Date Claimed 14 April 2003
Title of Invention Novel Reagent Compounds and Methods of Making and Using the Same		
Applicant(s) for DO/EO/US University of Houston et al.		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information.		
<p>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a submission under 35 U.S.C. 371.</p> <p>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a submission under 35 U.S.C. 371.</p> <p>3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.</p> <p>4. <input checked="" type="checkbox"/> The US has been elected (Article 31).</p> <p>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))</p> <p style="margin-left: 20px;">a. <input checked="" type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</p> <p style="margin-left: 20px;">b. <input checked="" type="checkbox"/> has been communicated by the International Bureau.</p> <p style="margin-left: 20px;">c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</p> <p>6. <input checked="" type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).</p> <p style="margin-left: 20px;">a. <input checked="" type="checkbox"/> is attached hereto.</p> <p style="margin-left: 20px;">b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</p> <p>7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))</p> <p style="margin-left: 20px;">a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</p> <p style="margin-left: 20px;">b. <input type="checkbox"/> have been communicated by the International Bureau.</p> <p style="margin-left: 20px;">c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</p> <p style="margin-left: 20px;">d. <input type="checkbox"/> have not been made and will not be made.</p> <p>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</p> <p>9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</p> <p>10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</p> <p><b>Items 11 to 20 below concern document(s) or information included:</b></p> <p>11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</p> <p>12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</p> <p>13. <input type="checkbox"/> A preliminary amendment.</p> <p>14. <input checked="" type="checkbox"/> An Application Data Sheet under 37 CFR 1.76.</p> <p>15. <input type="checkbox"/> A substitute specification.</p> <p>16. <input checked="" type="checkbox"/> A power of attorney and/or change of address letter. A Statement Under 37 CFR 3.73(b), with <i>copy</i> of recorded Assignment.</p> <p>17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 – 1.825.</p> <p>18. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4).</p> <p>19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).</p>		

This collection of information is required by 37 CFR 1.414 and 1.491-1.492. The information is required to obtain or retain a benefit by the public, which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 15 minute to complete, including gathering information, preparing, and submitting the completed form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS: SEND TO: Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

1020 REC 11/17/10 1 4 OCT 2009

PTO-1390 (Rev. 07-2005)

Approved for use through 3/31/2007, OMB 0651-0021  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)		INTERNATIONAL APPLICATION NO.		ATTORNEY'S DOCKET NUMBER	
<p>20. <input checked="" type="checkbox"/> Other items or information:</p> <p>Acknowledgement postcard.</p>					
The following fees have been submitted				<b>CALCULATIONS</b>	<b>PTO USE ONLY</b>
21. <input checked="" type="checkbox"/> Basic national fee (37 CFR 1.492(a)).....				\$300	
22. <input checked="" type="checkbox"/> Examination fee (37 CFR 1.492(c))				\$200	
If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4).....					
All other situations.....				\$0	
23. <input checked="" type="checkbox"/> Search fee (37 CFR 1.492(b))				\$500	
If the written opinion of the ISA/US or the International preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4),.....					
Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority.....				\$100	
International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB.....				\$400	
All other situations.....				\$500	
<b>TOTAL OF 21, 22 and 23 =</b>				<b>\$1,000</b>	
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (e) or computer program listing in an electronic medium) (37 CFR 1.492(j)). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.					
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole number)	RATE		
- 100 =	/50 =		x \$250	\$	
Surcharge of \$130.00 for furnishing any of the search fee, examination fee, or the oath or declaration after the date of commencement of the national stage (37 CFR 1.492(h)).				\$	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$	
Total Claims	69 - 20 =	49	x \$ 50	\$2450	
Independent claims	6 - 3 =	3	x \$200	\$600	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$360	\$	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				<b>\$3050</b>	
<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2.					
<b>SUBTOTAL =</b>				<b>\$2025</b>	
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).				+	\$
<b>TOTAL NATIONAL FEE =</b>				<b>\$2025</b>	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				+	\$
<b>TOTAL FEES ENCLOSED =</b>				<b>\$2025</b>	
				Amount to be refunded:	\$
				Amount to be charged:	\$


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- a. ☐ A check in the amount of \$ \_\_\_\_\_ to cover the above fees is enclosed.
- b. ☒ Please charge my Deposit Account No. 07-0153 in the amount of \$2025 to cover the above fees.  
 A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 07-0153. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO:

Tim Headley  
 USPTO Customer No. 37058

  
 \_\_\_\_\_  
 SIGNATURE

Tim Headley  
 \_\_\_\_\_  
 NAME

31,765  
 \_\_\_\_\_  
 REGISTRATION NUMBER

JC20 RECEIVED 10 14 OCT 2005

IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A SUBMISSION UNDER 35 U.S.C. 371

Applicants: University of Houston, et al. )  
Application Number: Not Assigned )  
Filed: October 14, 2005 )  
Group Art Unit: Not Assigned )  
Examiner: Not Assigned )  
For: Novel Reagent Compounds and Methods )  
Of Making and Using the Same )

Mail Stop PCT  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

## CERTIFICATE OF MAILING

I hereby certify that this document is being deposited on this day with the U.S. Postal Service as, Express Mail under 37 C.F.R. 1.10 and is addressed to: MS PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

*Marisa Sweeney*  
Signature of Person Mailing Correspondence

Marisa Sweeney  
Typed or Printed Name of Person Mailing Correspondence

Date of Signature: \_\_\_\_\_

EV 465741890 US  
Express Mail Label Number

## Transmittal Letter

1. Application Data Sheet;
2. Transmittal Letter to the U.S. Designated/Elected Office (DO/EO/US);
3. Employee Declaration for Patent Application;
4. Statement Under 37 CFR 3.73(b), with Power of Attorney to Prosecute Applications Before the USPTO, and a copy of the recorded Assignment;
5. Copy of International Application as published; and
6. Acknowledgement postcard.

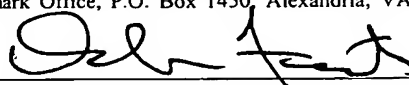
Dated: October 14, 2005

*Tim Headley*  
Tim Headley  
Attorney for Applicant  
Customer No. 37058

**JC20 Rec'd PCT/PTO 14 OCT 2005**  
**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicants: Gao, et al.  
Serial No.: 60/462,753  
Date Filed: April 14, 2003  
For: EFFECTIVE CAPPING REAGENTS

MS Assignment Recordation Services  
Director of The U.S. Patent and Trademark Office  
P.O. Box 1450  
Alexandria, VA 22313-1450

CERTIFICATE OF MAILING	
I hereby certify that this document is being deposited with the U.S. Postal Service "Express Mail to Addressee" service under 37 C.F.R. 1.10 and is addressed to: MS Assignment Recordation Services, Director of the U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450.	
	
Signature of Person Mailing Correspondence	
Deborah K. Foots	
Typed or Printed Name of Person Mailing Correspondence	
Express Mail Label No.: EV 169247219 US	
Date of Signature: 4/30/04	

**TRANSMITTAL LETTER**

Sir:

I have enclosed for submission with the U.S. Patent and Trademark Office the following:

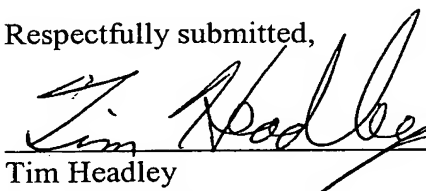
1. Recordation Form Cover Sheet – Patents Only;
2. Assignment, executed by Xiaolian Gao and Peilin Yu;
3. Check in the amount of \$40.00; and
4. Return postcard.

Applicant believes that no additional fees are due for the filing of this document. However, if any additional fees are due, the Commissioner is hereby authorized to charge Deposit Account No. 07-0153.

Date:

4-30-04

Respectfully submitted,



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